

COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450



Docket No.: 537.1008US
Date: May 4, 2004

In re application of: **Kamran L. RAFIEYAN, et al.**

Serial No.: **10/762,123**

Filed: **January 21, 2004**

For: **AUTOMATED SYSTEM FOR ROUTING ORDERS FOR FINANCIAL INSTRUMENTS**

Sir:

Transmitted herewith is a **Information Disclosure Statement** in the above-identified application.

- ☐ Small entity status under 37 C.F.R. 1.9 and 1.27 has been previously established.
☐ Applicants assert small entity status under 37 C.F.R. 1.9 and 1.27.
☒ No fee for additional claims is required.
☐ A filing fee for additional claims calculated as shown below, is required:

FOR:	(Col. 1)	(Col. 2)		SMALL ENTITY		OR	LARGE ENTITY	
	REMAINING	HIGHEST		RATE	FEE		RATE	FEE
	AFTER	PREVIOUSLY	PRESENT					
	AMENDMENT	PAID FOR	EXTRA					
TOTAL CLAIMS	* Minus**	=	0	x \$	9		x \$	18
INDEP. CLAIMS	* Minus***	=	0	x \$	40		x \$	80
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+	\$135		+	\$270
				TOTAL:	\$	OR	TOTAL:	\$

* If the entry in Co. 1 is less than the entry in Col. 2, write "0" in Col. 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

☒ Also transmitted herewith are:

☐ Petition for extension under 37 C.F.R. 1.136

☒ Other: **Form PTO 1449 and Copies of References Cited**

☐ Check(s) in the amount of **\$.00** is/are attached to cover:

☐ Filing fee for additional claims under 37 C.F.R. 1.16

☐ Petition fee for extension under 37 C.F.R. 1.136

☐ Other:

☒ The Assistant Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0552.

☐ Any filing fee under 37 C.F.R. 1.16 for the presentation of additional claims which are not paid by check submitted herewith.

☒ Any patent application processing fees under 37 C.F.R. 1.17.

☒ Any petition fees for extension under 37 C.F.R. 1.136 which are not paid by check submitted herewith, and it is hereby requested that this be a petition for an automatic extension of time under 37 CFR 1.136.


 Cary S. Kappel, Reg. No. 36,561
 DAVIDSON, DAVIDSON & KAPPEL, LLC
 485 Seventh Avenue, 14th Floor
 New York, New York 10018
 Tel: (212) 736-1940
 Fax: (212) 736-2427

I hereby certify that this correspondence and/or documents referred to as attached therein and/or fee are being deposited with the United States Postal Service as "first class mail" in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" on May 4, 2004.

DAVIDSON, DAVIDSON & KAPPEL, LLC

BY: 



537.1008US

UNITED STATES PATENT AND TRADEMARK OFFICE

Re: Application of: **Kamran L. RAFIEYAN, et al.**
Serial No.: **10/762,123**
Filed: **January 21, 2004**
For: **AUTOMATED SYSTEM FOR ROUTING ORDERS
FOR FINANCIAL INSTRUMENTS**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

May 4, 2004

Sir:

In accordance with Applicant's duty of disclosure under 37 C.F.R. §1.56 and the provisions of 37 C.F.R. §§ 1.97 and 1.98, Applicants hereby make of record the references listed on the attached Form PTO-1449.

The present Information Disclosure Statement is filed under 37 C.F.R. §1.97(b), before the mailing of a first Office Action on the merits. Accordingly, it is believed that no fee is due. However, if it is determined that any fee is due, the Examiner is authorized to charge said fee to Attorney Deposit Account No. 50-0552.

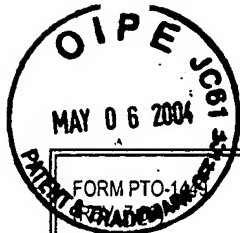
Respectfully submitted,

DAVIDSON, DAVIDSON & KAPPEL, LLC

By: _____

Cary S. Kappel
Reg. No. 36,561

DAVIDSON, DAVIDSON, & KAPPEL, LLC
485 Seventh Avenue, 14th Floor
New York, New York 10018
(212) 736-1940



FORM PTO-101

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.:
537.1008US

SERIAL NO.: 10/762,123

LIST OF PRIOR ART CITED BY APPLICANT

(Use several sheets if necessary)

APPLICANT(S): : Kamran L. RAFIEYAN, et al.

FILING DATE:
January 21, 2004

GROUP:

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	20	02	00	10	6	7	2	01/24/02	Waelbroeck, et al.	705	37	
	AB	20	02	00	52	8	2	7	05/02/02	Waelbroeck, et al.	705	37	
	AC	5	7	1	7	9	8	9	02/10/98	Tozzoli, et al.	705	37	
	AD	5	1	0	1	3	5	3	03/31/92	Lupien et al.	364	408	
	AE	4	6	7	4	0	4	4	06/16/87	Kalmus et al.	364	408	
	AF	4	6	7	7	5	5	2	06/30/87	Sibley, Jr.	364	408	
	AG	5	6	8	9	6	5	2	11/18/97	Lupien et al.	395	237	
	AH	5	8	4	5	2	6	6	12/01/98	Lupien et al.	705	37	
	AI	5	8	6	4	8	2	7	01/26/99	Wilson	705	35	
	AJ	6	0	1	2	0	4	6	01/04/00	Lupien et al.	705	37	
	AK	6	2	7	8	9	8	2	08/21/01	Korhammer et al.	705	37	
	AL	20	02	00	91	6	1	7	07/11/02	Keith	705	37	
	AM	20	01	00	44	7	7	0	11/22/01	Keith	705	37	
	AN	20	01	00	42	0	4	0	11/15/01	Keith	705	37	
	AO	20	01	00	51	9	0	9	12/13/01	Keith	705	37	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
													YES	NO
	AP	0	1	9	3	1	6	9	12/06/01	WO	G06F	17/60 A1	n/a	
	AQ	9	3	1	5	4	6	7	08/05/93	WO	G06F	15/24	n/a	
	AR	0	4	3	4	2	2	4	04/07/99	EP	G06F	17/60	n/a	
	AS	9	5	0	6	9	1	8	03/09/95	WO	G06F	157/00	n/a	
	AT	9	8	5	2	1	3	3	11/19/98	WO	G06F	17/60	n/a	
	AU	0	1	9	5	2	2	6	12/13/01	WO	G06F	17/60	n/a	
	AV	0	1	7	7	9	4	6	10/18/01	WO	G06F	17/60	n/a	
	AW	03	0	0	5	1	5	0	01/16/03	WO	G06F		n/a	

OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AX	Joshua Levin, Pres., Big J. Software, Inc., What's Wrong with the Instinet/NASDAQ Solution											
EXAMINER										DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.